DOCUMENT RESUME

ED 161 842 SP 013 217

AUTHOR	Spillane, Robert R.; Levenson, Dorothy
TITLE	Management by Objectives in the Schools.
INSTITUTION	Phi Delta Kappa Educational Foundation, Bloomington, Ind.
PUB DATE	78
NOTE	43p.
AVAILABLE FROM	Phi Delta Kappa, Eighth and Union, Box 789, Bloomington, Indiana 47401 ($0.75)
EDRS PRICE	MF-$0.83 HC-$2.06 Plus Postage.
DESCRIPTORS	*Administrator Guides; Educational Accountability; Educational Administration; Educational Planning; *Management by Objectives; *Management Systems; Measurement Goals; *Organizational Effectiveness; Systems Approach

ABSTRACT

Directed primarily toward those concerned with school administration, this guide describes a Management by Objectives (MBO) System and its application in a local school district. Three basic steps are outlined in the system approach: annual district-wide goals are set by the board of education in consultation with management personnel at all levels and representatives of staff, students, and community; the school district organizational chart lays out administrative staff responsibilities for achieving school district objectives; and goals and objectives are set for each school. The operation of this system in the New Rochelle, New York, school district is described in depth, including background planning, goals and objectives, a school profile, and community involvement. Other topics include measurability, benefits, and hiring, firing, and supervising practices in an MBO system. (DS)

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Management by Objectives in the Schools

Robert R. Spillane and Dorothy Levenson

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ROBERT R. SPILLANE

DOROTHY LEVENSON

Robert R. Spillane, deputy commissioner of education for the State of New York and former superintendent of schools in New Rochelle, New York, believes that in a time of shrinking enrollments and resources, careful management is the greatest need of today's schools.

Spillane's experience as superintendent has been in those urban-suburban districts in Connecticut, New Jersey, and New York that are awash with the overflow of big-city problems.

"We have to get everybody—administrators, teachers, secretaries, custodians, and the community—involved and excited about managing the schools," he says. "They are still our greatest resource for the future."

Dorothy Levenson is the historian-archivist at Montefiore Hospital in New York City and writes about the delivery of health care and education—two services upon which so much of the quality of life in the U.S. depends. Her chief interest as writer and teacher is in the functioning of those large institutions that dominate society during this last quarter of the twentieth century. Her interest in the U.S., its history, and its institutions began when, as the Australian mother of Canadian children, she moved to this country and had to find her way through the mazes of both the health and the education systems—and help with the homework.

Series Editor, Derek L. Burleson

Management by Objectives in the Schools

By Robert R. Spillane and Dorothy Levenson

Library of Congress Catalog Card Number 78-61319
ISBN 0-87367-115-5
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Bloomington, Indiana

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Management by Objectives: Theory and Practice

Most theories of management recently applied to schools have been adapted from the world of business as school administrators sought advice on how to allocate their incomes and manage their staff and buildings more effectively.

But the schools are not totally of the marketplace. We need to husband our resources in a field where cost effectiveness is not the bottom line of the endeavor. The thriftiest way to manage a school system may not always be the best road to good education.

At New Rochelle High School in Westchester County, New York, we offer over 200 different courses. There are undoubtedly cheaper ways to run a high school. Our overriding objective, however, is to serve the diverse children of a diverse community. We offer the Advanced Placement courses that will help some students go from high school into the sophomore year at Harvard; we offer the cosmetology course that leads to New York State certification as a beautician; and we teach the course that enables retarded students to gain employment in the sheltered workshop setting of the hospital laundry. Around the curriculum we try to build an atmosphere that prevents students from being tracked into courses on the basis of class or race or sex.

The number of babies born in New Rochelle is falling. Some schools must be closed, but the decision about which schools those should be cannot be made solely on the basis of economics. New Rochelle is an integrated community, balanced delicately between the chaos of the big city and the besieged calm of white suburbia. To close

the wrong school could slacken the tightrope on which we are poised. Thus, the management of our schools involves an understanding of constantly changing values and objectives.

In preparing this guide to the installation of a Management by Objectives System (MBO), we have relied heavily on our experience in the New Rochelle City School District. While other districts will differ in their needs, objectives, and resources in setting up their own MBO, practical examples from an ongoing situation will be more helpful than a theoretical discussion. People from other districts will modify the program to fit their local needs.

Management by Objectives in New Rochelle

Hard days have come upon our schools. Falling populations, falling revenues, and falling test scores all create their own constrictions. Rising costs, increasing union power, and soaring cries for accountability hem us in. The price of oil has made next winter's mean temperature the most crucial factor in determining the future of formal learning in many towns.

School people can feel so besieged by the "barbarians at the gates" that all their energy goes into defensive action. Busy complying with court orders and federal regulations, pacifying the PTA, making sure that all students graduate with at least a minimum level of competency in reading and writing, hiring administrators only from minority groups officially recognized by HEW, school teachers and administrators can easily lose sight of the educational program we once regarded as our primary business.

In New Rochelle, a Management by Objectives System has helped us, over several years, to sort out our priorities, to decide where we are going, and to look back and judge how far we have come. The system has also helped us to make sure that we are all going in the same direction, that the goals of the third-grade reading program and the twelfth-grade "Art of the Film" course, for example, fit within the framework of those broader objectives set for the whole district by the board of education in collaboration with the community.

We have learned to think in terms of a systems approach. We know that each single action will contribute more to the general good if it is

conceived as part of an overall plan and with an awareness of its effect on all the other sections of the enterprise.

Under MBO each administrator designs and then operates under a set of written, measurable goals. All the plans together provide a road map for each school and for the whole district with checkpoints along the way to assess progress toward the best kind of education possible for all students in the district.

Team action is assured by MBO. The delineation of objectives is a cooperative endeavor between each administrator and his or her supervisors. Each administrator is recognized as the person best equipped to act within a specific area of responsibility. At the same time, it is acknowledged that many decisions are implemented at more than one level in a school system. An MBO system necessitates that all administrators have access to the information and resources required to make decisions and implement appropriate actions. Each administrator must also have the authority to carry out agreed-upon objectives.

At a time of reduced resources, MBO has provided the maximum use of individual strengths and talents and the fullest development and most useful deployment of everyone working in the district through a coordinated, flexible, and continuously reviewed plan of education geared to meet the needs of our particular community.

MBO coordinates overall school district activity and emphasizes areas of identified educational priority. It insures maximum utilization of individual talents and strengths by encouraging individual development. It can be used both for the total school system and in specialized areas.

MBO has also been a way to involve the whole community in the ongoing planning process—from decisions at the board level to curriculum and methodology in local schools. Districtwide goals are agreed upon after much public discussion. Each principal must consult with teachers and parents in establishing local programs.

Installation of the MBO system in New Rochelle has been a long-term, step-by-step process that has taken several years. Each phase of implementation has been followed by careful evaluation and then modification to adapt the system to constantly changing external con-

ditions. The "energy crisis," for instance, has meant different things at different times, but it has introduced the constant of continuously rising fuel bills as a permanent budget feature.

Care and caution was exercised in the installation of the MBO system to alleviate some of the suspicion that talk about "management" in the schools tends to raise in the minds of both parents and professionals. Both groups probably learned something about management from the films "Modern Times," "The Pajama Game," and "How To Succeed in Business Without Really Trying." Acronyms such as MBO or PPBS (for Planning-Programming-Budgeting System) suggest a betrayal of humanistic values. We have had to work hard to explain again and again that the purpose of effective management is the protection of those very humanistic values and the creation of schools in which they may flourish. Good management means caring and protective management. We have also emphasized MBO as a process, not a product. Our aim is not to create a management model, but to use a particular method to clarify thinking, facilitate planning, and involve more people in the running of the schools than ever before.

In the Beginning

Once we decided to install an MBO system, our first task was to identify the district's primary objectives. We looked at personnel and budget allocations for clues, but they were not always helpful. New Rochelle's administrative structure, as in many districts, was the result more of historical accident than of any logical thought. Reliance on attrition had been the answer to problems of tenure. Some administrators and teachers had died or retired, but those who were offered attractive positions elsewhere were too often not the people for whom we wished to plan a farewell dinner. Key administrators had left and in a time of tightening budgets had not been replaced. As in many other parts of the country, math and reading scores were sliding in New Rochelle, although there were no districtwide supervisors in those subjects. Such positions existed only in art and music. We examined expenditures to discover exactly what we were doing with the taxpayers' money. Every penny was accounted for—we knew what we had bought, but we did not necessarily know why we had bought it.

By New York State law, each district is required to set up a line budget. All expenditures are classified in numbered series. All board of education and central administration expenses appear in the "100" series. The "200" series covers instruction, including the salaries of principals and teachers. There are separate series for materials and supplies and everything else a school district needs or the state legislature thinks it needs.

The budget we looked at showed how many teachers were on salary but not exactly what they were teaching. And there was no way to tell if the amount of money spent on pencils, for instance, was related to student writing ability. The answer was to develop a Planning-Programming-Budgeting System, a reworking of the line budget (which still had to be prepared for the state education department). To find out how much was being spent on reading, we looked at each series in the line budget. How much of the money listed under the "100" series affected the district's reading program? How much administrative time was covered? How many teachers listed under the "200" series spent all or part of their time on the teaching of reading? How much of the money spent on "supplies and materials" actually bought readers and workbooks? How much of a custodian's time was spent cleaning rooms where reading was taught? The process was complicated.

So it went through all those interesting things we teach. There were surprises along the way. A disproportionate amount of the money allocated for music, for instance, was going to a small, prestigious group ensemble at the high school. We had to consider the importance of those talented and dedicated students compared to the exposure of all pupils to some form of musical education. In the end we had some idea of how relative amounts of our resources were being spent. This analytic process is essential to the concept of zero-base budgeting. Before decisions were made about where money was to be spent, we had to know where that money had been going and how much of that expenditure was actually necessary. Of course the restraints of real life—union contracts, state mandates, local devotion to some aspects of the curriculum—tend to prevent the achievement of true zero-base budgeting, but the analysis of existing expenditures and existing procedures is essential to any useful rearrangement of priorities.

Whose Goals and Objectives?

The operation of the schools affects everybody in the community. We needed to know if parents and taxpayers approved the objectives of the schools as expressed in the budget. Budget cuts had to be made, and a way had to be found to cut costs in ways that would improve the schools rather than damage them.

A series of public meetings was held to involve as many people as possible in the process of revamping the objectives of the New Rochelle public schools. All over town groups came up with lists of what they wanted the schools to attempt. The final result of these meetings was a statement called "Educational Goals for New Rochelle," which was adopted by the board of education as a general statement of purpose. The goals listed are general, broad, and diverse, but they have provided the framework that allowed us to proceed toward specific, narrow, measurable objectives that meet the needs of particular school populations, administrators, teachers, and parents. The statement reads as follows:

Educational Goals for New Rochelle

1. To recognize, encourage, and nurture the creativity inherent in each child.

2. To develop through the instructional process humanistic perspectives that stress people's relationships to themselves and to others.

3. To stress the importance of students' individual learning styles and emotional development, and to structure programs congruent with these diverse styles.

4. To relate the learning of cognitive skills to real situations so that students can cope more readily with the realities of life.

5. To provide a school environment for students and teachers free from the fear of physical and/or psychological harassment.

6. To provide an individualized learning environment in which students can develop the flexibility and adaptability necessary to cope with the rapid technological and cultural change of a society in "future shock."

7. To give all students a sense of destiny and control in shaping their life goals by providing experiences that promote greater self-

understanding, greater freedom to inquire, and increased competence in solving problems.

8. To recognize that successful social growth and development is based upon experiences that provide the balance between individual and group sharing and responsibility in the educational environment, so that all learn both the individuality and interdependence of people.

9. Our youth, by the twelfth grade, are to [achieve] a sufficient mastery of the basic language tools of listening, speaking, writing, reading, and the analytic skills of mathematics so that, upon graduation from high school, a young man or woman can secure and hold a decent job or pursue further education and training in a technical school or college.

10. To provide learning experiences wherein students explore and examine the impact upon their lives of major societal issues.

11. To develop flexible program designs that will enable students to pursue individualized sequences of study.

12. To develop a curriculum that is concept-centered and that promotes the interrelatedness of all knowledge.

13. Our children and youth are to be given the chance through shared responsibilities as members of the school community to learn the importance of physical and environmental health in preparing for future family and other responsibilities.

14. To develop flexible and alternative patterns for schooling that will offer greater options to students, parents, and teachers.

15. Our children and young people are to gain an appreciation and understanding of themselves and others through a knowledge of history, literature, art, music, and science. Throughout our system, let there be a richness of intercultural exchanges and respect inculcated for vocational as well as academic achievement.

16. To provide and encourage varieties of staff development predicated on the expressed needs of the staff members themselves.

17. To expand the learning environment to include the resources of the community, universities, [and] educational and social agencies.

18. To develop among students and in the community a love of learning based on the knowledge that formal schooling is only one

element in the learning process, and that education transcends the boundaries of formal school settings and is a lifetime process.

Goals and *objectives* are two concepts that need clarification. A goal is regarded as a broad, long-range ideal. An objective is the short-range, measurable achievement by which a goal may be reached.

"To improve reading levels" is an acceptable goal, but it is not an objective because it cannot be accurately measured. "To improve reading levels at the third-grade level by two months" is an objective that can be measured—and perhaps even achieved.

At first glance, many of the goals listed by the New Rochelle Board of Education seemed global and impossible to implement or measure, but they were intended to be general enough to allow for many different approaches. "To provide a school environment for students and teachers free from the fear of physical and or psychological harassment" translated at one of the junior high schools into a policy that placed teachers in the hallways at all times. During their nonteaching periods, teachers sat at desks in the halls correcting papers or preparing for classes, while at the same time watching the comings and goings of students and adults. When necessary, they challenged strangers, asking for identification or their purpose in being in the school.

The board of education's goal, "To stress the importance of students' individual learning styles and emotional development, and to structure programs congruent with these diverse styles," has resulted in programs that differ significantly in methods and philosophy. At one elementary school, for example, the staff is working with the Gesell Institute of New Haven, Connecticut, on testing new kindergartners to assess their levels of psychological, social, intellectual, and physical development. The tests are used to place the kindergartners in classes structured to fit their individual levels, and the children are retested throughout the primary grades. Each child's progress through school is closely geared to his rate of development. The same goal has been implemented in another school that has adopted an "open classroom" format with totally heterogeneous grouping of children to allow for the fullest possible flowering of "individual learning styles."

All of these programs are carefully monitored. Each has its own set

of measurable objectives. The board can look at the results of the measurements to decide success or failure in reaching its goals. Are there fewer acts of violence at the junior high school? Are the children in the elementary schools reading at grade level? Do the elementary schools have fewer discipline problems since the program was initiated?

School Profile

A community can make useful decisions about its schools only on the basis of solid information. We publish the *New Rochelle School Profile* annually. For each of the 10 elementary schools and the two junior highs, the *Profile* lists test score summaries of achievement in reading and arithmetic at the first- through ninth-grade levels. The *Profile* includes background information concerning the school and student body, together with an understandable explanation of the valid use of test results. The *Profile* also includes information to allow comparison between local and national norms.

The number of sixth-graders in New Rochelle reading on or above grade level varies from 73% in one school to 34% in another. In a community as economically and ethnically varied as New Rochelle, there are many complex reasons for the differences in achievement among the schools. The *Profile* report gives some information about these factors, listing, for example, the number of ADC (Aid for Dependent Children) and foster children in each school. The release and distribution of such information could provide fuel for bitter controversies. Sometimes disputes do arise, but a great deal of the 26-page publication is devoted to explanations and background information on the community and the interpretation of test scores. This seems to have helped to achieve the primary aim of developing a well-informed public.

Every year the publication of the *Profile* results in a front-page story in the local newspaper, but over the years the document has come to serve the needs expressed in the introduction to the first edition: "The *New Rochelle School Profile* has been developed for a single important reason: to provide our schools with the information they need to improve. This it will accomplish by strengthening building-by-building accountability to the public; by improving communica-

tions between each school and the people it serves; and by providing a common objective basis for identifying problems, setting priorities, recognizing successful programs in individual buildings that can be transplanted to the others, and reviewing on a continuing schedule the results of our educational efforts."

The Principals and MBO

The interchange of information and the discussion of goals has affected attitudes among the professional staff, developing a greater awareness of the relationship between the community and the schools and of the varying needs of the individual schools. In preparation for their changing role in management, there was a period of intensive training for principals and other administrators to explore the implications of PPBS and MBO. A series of seminars was conducted by consultants from the Harvard Business School and from one of the few school districts known at the time to be involved in an MBO system. Reprints of relevant articles and accounts of the seminars were distributed throughout the school system. The New Rochelle Principals Association established an MBO task force to study the concepts underlying MBO and PPBS. The report they produced firmly rejected any thought of attaching merit pay to MBO, one of the hidden fears of this new management system.

To ask people to plan without offering them the resources to achieve their goals is more than an exercise in futility; it is a morale-destroying ploy. A principal who has a totally tenured staff and a pre-committed budget will have difficulty in effecting any kind of change. Financial constraints in New Rochelle had forced the district to make severe cuts. Some positions, such as elementary librarians, were eliminated completely. All the cuts were made with careful consideration to the concerns that the community had expressed at the public meetings.

The principals and teachers were offered some attractive incentives. As the budget was cut, it was also redesigned. Money was set aside for both block grants and minigrants to stimulate principal and teacher initiative. The minigrants (up to $500) were made available to classroom teachers on a competitive basis for their own special ideas.

which included, for example, stone for a sculpture class at the high school and a camping trip for the elementary schools. One prekindergarten teacher used her money to partition off a section of her room so that overactive, overaggressive youngsters could safely let out some of their energy and hostility on punchable, unbreakable materials.

Block grants were awarded to individual schools; amounts were determined by enrollment. Each principal was expected to plan in cooperation with teachers and parents for programs that met the needs of the children in his or her school. One of the unforeseen results of the block grants was that they gave principals the freedom to hire people who did not hold regular New York State teacher certification. There was, for instance, the ex-British Army, ex-professional soccer player who not only developed the best program of physical education for special education students at the elementary level ever, but also made soccer (pre-Pelé) a fundamental part of the New Rochelle sports scene. The principals were able to bring artists, musicians, and poets into the schools. Although these part-time artists received a lower salary than full-time staff and were not entitled to the usual fringe benefits, they brought a remarkable degree of enthusiasm and commitment to their roles.

At the same time that the principals were planning these new ventures in their own schools, they were also taking on responsibilities for districtwide innovations. Each principal supervised a curriculum or administrative area. One introduced a new social studies curriculum and set up workshops to train teachers in its use. Another worked with a group of teachers to redesign the elementary math curriculum and set up a method of recording math learnings for each child.

Throughout the district, professionals and parents were looking at the schools in a new way. Needs could be met and directions changed not by central office fiat or by sudden acquisition of government bounty but through cooperative planning by staff and parents in each building. By the time the superintendent's working paper, "Managing the Schools: Setting Goals and Objectives," was issued, principals and administrators were ready to use it as the basis for planning the work of the coming year. The document laid out a detailed plan for development and installation of a Management by Objectives System.

An MBO System in Action

A system of management by objectives has the following basic steps:

1. Annual districtwide goals are set by the board of education in consultation with the superintendent, principals, management personnel at all levels, and representatives of staff, students, and the community. Principals submit their goals during the budget preparation process so that institutional goals are compatible with the resources available for their attainment. All such goals are considered in light of the past and long-term goals of the school district. Once districtwide goals have been established and formulated, a document listing them is distributed to all principals and others involved in the planning process.

2. The school district organizational chart lays out administrative staff responsibilities for achieving school district objectives. This chart indicates the role to be played by principals in developing districtwide services, curricula, etc., in addition to their responsibilities in their own buildings.

3. Goals and objectives are set for each school. Principals are charged with the responsibility of developing performance objectives for themselves and their building staffs that are compatible with districtwide goals. In developing and writing these objectives, the principals consult frequently with central office staff, subordinates, and other principals for the purposes of coordination and the exchange of ideas. At the same time that principals are developing their own managerial objectives, they work with school staff members (department chairpersons, staff planning committees, etc.) to help them develop their own performance objectives.

Managerial objectives tend to fall into four categories:

1. Routine objectives: those that are an ongoing part of the running of a school, e.g., staffing positions, budget preparation, etc.

2. Problem solving: attempts to solve an existing dilemma, e.g., trying to establish better communication among students in order to lower the possibility of physical confrontation between groups. (A change in external conditions may transform a routine objective into a problem-solving one, such as ascertaining the effect of the energy crisis on normal building maintenance.)

3. Innovative objectives: developing a new approach or program, e.g., a new social studies curriculum.

4. Personal objectives: a principal may feel a need to develop his own skills in a particular area, e.g., budget management or community relations.

There are two basic types of objectives—quantitative, those that can be specified and measured, e.g., reducing cutting in classes, increasing achievement scores; and qualitative, those objectives that indicate that a certain task is to be performed and judged for quality by a superior, e.g., designing an inservice program. Whatever the objectives, they are written in such a way as to state clearly what is to be accomplished and to indicate a method of assessing success or failure. The purpose of assessing each objective is to provide the data for future planning. The objective may be written as a simple sentence: "The objective is to cut teacher absenteeism by X% in the coming school year"; or as a qualifying paragraph: "The objective is to increase the third-grade reading scores. This objective will be considered to have been achieved when X% of the third-graders read at a Y.Z level."

The principal of the school sets up a planning work sheet for each objective and lists each step on the sheet. The steps include the following:

1. The human, physical, and financial resources to implement the objective.

2. The policy and procedural requirements for implementation.

3. Target dates.

4. Necessary coordination with other principals to implement the objective.

5. Services required from district-level staff to implement the objective.

The superintendent meets with each principal to review objectives and reach agreement on appropriate procedures, especially to establish that objectives are clearly understood by both the superintendent and the principal. When objectives are vague or absent, it is difficult to delegate responsibility effectively. If a specific objective is to be attained, the principal, who is to be held responsible, must be given the authority to complete the task at hand. The principal must be allowed the freedom to exercise the full scope of his personal abilities in achieving the agreed-upon objectives.

At the end of the year or of the time period allocated for achievement of the specified objectives, the superintendent and principal meet for a review of such questions as:

Is the principal meeting the specified targets?
Should the targets be amended?
Should any new goals be added in light of new circumstances?
Is the superintendent aiding the principal in achievement of the goals?

Successes should be reviewed and noted. Failures should be reviewed carefully to determine their causes and to plan for success during the next time period. Then new objectives should be established and the cycle begun again.

In the first year of the MBO system in New Rochelle, work sheets were distributed to help develop the new kind of planning process. Workshops were held for principals and other administrators to improve their objective-writing skills. Some of the first attempts at writing objectives indicated more of a desire to fill in the work sheet correctly than to show any great awareness of specific areas needing attention. The area of "personal development" was the one most frequently ignored. (This has remained a blank column for many administrators over the years. Surely there must be a principal somewhere who is aware that he is not the world's most spellbinding public speaker or who feels the need for some professional help with interpersonal relationships.) Following is a sample of the work sheet used.

Objective Work Sheet

Name _____ Position _____

Date Prepared _____ Date Reviewed _____

I. Major Work Objectives	Criteria for Measurement
Brief description of the most important job goals and results expected.	Specific measures or sources of information that will provide evidence of accomplishment.
II. Major Personal Objectives	**Criteria for Measurement**
The most important self-development goals	Evidence of accomplishment
III. Other Important Objectives	**Criteria for Measurement**

OVERALL COMMENTS:

_____ _____

Date Reviewed Has a revised work sheet been prepared?

Agreement reached by

_____

_____

MBO is a sequential process, a series of successive plans developed on the basis of an individual's performance and future expectations. Progress in achieving a long-range goal can best be made by setting specific short-range objectives, since it is often difficult to maintain the energy needed for the achievement of long-range goals. By helping each member of the management team understand what is expected, goals can be reached in the shortest time and with the most efficient use of available resources.

Above all, management by objectives is a vehicle. Clearly defined objectives are means, not ends. The formulation of objectives serves to foster greater communication between principal and staff, between principal and superintendent, and among all members of the school community.

Measurability in MBO Systems

The mandate of measurability in our MBO system has produced difficulties. Many of the outcomes of education are seemingly unmeasurable. In the first flush of Head Start in many public school systems, for instance, some educators believed that the success or failure of the experience could be judged by pre- and posttesting the children in September and May, before and after their exposure to blocks, fingerpainting, and school snacks. If the child who was ignorant of shapes and colors in the fall could recognize a yellow triangle by spring, his teachers felt proud. Time has brought the realization that perhaps a better indication of success might be the Head Start graduate who did not drop out of school in tenth grade, or the mother who had acquired enough self-confidence through volunteering in the early childhood classroom to demand to see her sixth-grader's records.

We know that once we go beyond math and reading scores it becomes increasingly difficult to assess achievement in any school endeavor. What number of suspensions indicates a high quality of discipline in the high school—two per year or 39? Is the fact that a school has the best football team in the state an indication of the high quality of its physical education program? Is the number of National Merit Scholarship winners in a school a measure of the skill of our teachers or simply an indication of the socioeconomic class from which the students come?

Some numbers do mean something. The dropout rate, teacher absenteeism, and reading scores that are dropping at a faster or slower

rate than the national norm all are measures that can be used in evaluating school programs.

Then there are process measurements. A principal who makes a large number of supervisory visits may improve the quality of teaching in a school or may drive the staff up the walls. But a principal who does not observe and evaluate is not fulfilling the functions of the office. A school district heavily involved in providing inservice for staff members is likely to have higher quality education than a system that does not. If there is provision for staff evaluation of the inservice offerings, the quality is likely to be even higher.

Thus any list of objectives will usually provide for the measurement of both outcomes and process, as in the following list from an elementary school:

Curriculum Component

i. Will . . . reduce by 10% the number of youngsters scoring below minimum competency on the New York State PEP tests in reading and math at third- and sixth-grade levels by November, 1976.

ii. Will develop a program for exceptional students using parent volunteers, teachers, paraprofessional service, and the block grant funding by October, 1976.

The areas most difficult to assess often produce some of the most interesting descriptions of measurement procedures and reveal a great deal about the inner workings of particular schools. Human relations is a topic that is approached with a wide range of measurement techniques. One principal, for instance, deals with the subject as follows:

1. *Typical Situations*
   a. Pupil(s) versus pupil(s)
   b. Parent(s) versus pupil(s)
   c. Neighbor(s) versus pupil(s)
   d. Businessman(men) versus pupil(s)
   e. Teacher(s) versus pupil(s) or parent(s)
   f. Teacher(s) versus teacher(s)
   g. Parent(s) or resident(s) bypassing principal and going "right to the top"
2. *General Procedure:* Listen sympathetically to the complaint, gripe,

or accusation first. Then I follow up on all possible facets and leads and question the accused. The next step, whenever possible, is a "solution" arrived at through a compromise of some sort where everybody "saves face."

In contrast to this atmosphere of armed combat, there is relief in turning to the words of another principal who declares that human relations "includes such values as a concern and caring for others, a respect for others, an appreciation of others, an understanding of others, liking other people, liking oneself, freedom from fear, and respecting the rights of others." These values are to be inculcated in workshops for teachers and parents.

A third principal has set up this structure to deal with human relations problems:

1. Human Relations Committee—an active PTA committee consisting of three parents and three teachers (but not the principal), meeting once a month.
2. The Citizens Advisory Board—24 parents and 2 teachers, meeting once a month.
3. Faculty Council—a group of teachers meeting with the principal every other week.
4. Student Council—elected members meeting with the principal only.

Procedures such as these indicate that in areas in which measurement is difficult, MBO has encouraged attention to the measurement process. This new emphasis is responsible for a more consistent attempt to deal with everyday classroom problems.

Hiring, Firing, and Supervising

The only truly essential component of a school is people—teachers and pupils, or Socrates walking with a student in the agora. We can do without the pens and pencils and the books and even the multimedia resource room. We cannot control the quality of the students who come to us, but we can hire good teachers, fire some of the worst, and help the good and the bad become better by the quality of the supervision we provide.

In New Rochelle hiring and firing are handled at the building level. Applicants are initially screened by the district director of personnel, who selects candidates for interview by the principal or department chairperson. The fact that the interviewer under our MBO system has already gone through the process of listing specific objectives for the school or department helps in the selection of new staff. If there is a need to communicate with Italian-speaking parents or to upgrade reading scores or to establish a new social studies course with emphasis on consumer education, these objectives will determine some of the specific skills sought in new teaching staff. In general, working our way through the process of installing an MBO system has developed a keener awareness of the particular skills needed for particular duties of management.

Supervision of teachers is one of the ongoing tasks of school management, but in New Rochelle before MBO it was a task that had not been clearly defined. Our first list of objectives included the hopeful remark from one principal that he "would try to find time to observe

more teachers next year." We have come a long way since then as supervisors at every level have come to realize that having their own clearly defined objectives helps them to induce teachers to accept and work for their declared goals.

The district now has guidelines that lay out a general policy on the minimum number of supervisory visits mandated for tenured and non-tenured personnel and procedures for evaluation. The evaluation procedures include:

1. An indication of the strengths and weaknesses in the teacher's performance
2. Alternative measures to improve instruction and suggestions for remediation of instruction in any area where criticism is offered
3. When appropriate, the materials and support within the district that are available to aid the teacher

A teacher or staff competency to be assessed is broken down into three categories at the elementary and secondary level, as follows:

Understanding	*Indicator*	*Evaluator*
The teacher demonstrates the ability to record student performance and learning styles.	The teacher maintains suitable records of performance and evidence of the learning style and pattern of each student.	The evaluator examines records and assesses the scope and nature of these records in relation to the learning pattern and performance of each student.

With MBO, while the subjective element cannot and should not be removed from the evaluation of teacher performance, both teachers and supervisors have a much clearer picture of their roles and responsibilities. Both are better able to define their own objectives and see the way in which individual objectives fit into the wider system.

When supervision is seen as the means to achieve a clearly defined objective, some of the tension and anxiety associated with the supervisory process is relieved. A teacher who knows that the principal or department chairperson is making a mandated number of classroom visits and is following established guidelines is less likely to perceive the supervisor as one of the authority figures of childhood. In turn, the

supervisor is more likely to be comfortable following specific guidelines about the matters to be observed.

The systematic method of observation and the recording of those observations over a period of time has also helped to deal with the trauma of firing. The supervisor feels secure if he has a written record of a teacher's failure. The fired teacher, while unlikely to regard his firing as anything but bad news, at least is aware that the action is not capricious.

Objectives Top to Bottom

Today the total New Rochelle school district is organized on an MBO system. A look at objectives set at various levels will be useful. For the 1976-77 school year the board of education set very specific objectives within the original framework, with set dates for the accomplishment of each objective.

Board of Education Specific Objectives 1976-77

1. To have developed a written curriculum for the elementary grades	June, 1977
2. To increase the performance of "low-achieving" students through the development of alternative programs	May, 1977
3. To have an organizational pattern for the implementation of human relations objectives in each school building	September, 1976
4. To have an effective personnel performance evaluation system which is utilized for	
a. secondary certificated positions	October, 1976
b. noncertificated positions	February, 1977
c. administrative and supervisory positions	September, 1977
5. To review the cost effectiveness of maintaining positions on a 10-, 11-, or 12-month basis	November, 1976
6. To conduct a study of the possible redeployment of administrative and teaching staff	February, 1977

7. To have prepared (for long-range planning) demographic studies on student population, including possible racial imbalances	February, 1977
8. To review the usage of existing school buildings and the available and viable alternatives	March, 1977
9. To have a management program developed to insure further reductions in energy consumption	November, 1976
10. To review alternatives to present energy usage and systems and the viability of solar heating systems	March, 1977
11. To have specific programs developed to reduce vandalism costs	January, 1977
12. To have implemented a new cost-effective data processing system	June, 1977
13. To analyze the viability of a computer-aided instruction (CAI)	June, 1977
14. To review and develop programs to improve the public image of the school district and its educational services	January, 1977
15. To evaluate the accomplishment of the superintendent's objectives (and through him those of the building principals and the seven central administration officers)	January, 1977 and June, 1977

The superintendent's annual objectives were equally specific. (The emphasis on energy conservation is less a response to President Carter's appeals than it is a reaction to nightmares about oil bills!)

Specific Objectives of the Superintendent of Schools

1. To conduct an inservice program for the central administration and principals in the development and implementation of their specific objectives, 1976-1977	October, 1976
2. To increase the achievement level of secondary	

students through the introduction of new educational materials at one junior high for students with special educational needs — January, 1977

3. To involve the community in planning for the future direction of the school system through the appointment of a master plan committee composed of citizens and staff — February, 1977
4. To reduce energy consumption through an energy management team that will provide in-service education of staff and monitor usage within the schools — March, 1977
5. To increase the effectiveness of administrative evaluation of elementary and secondary teachers through implementation of the new evaluation system — March, 1977
6. To develop programs accommodating youngsters who are under suspension for longer than five days — April, 1977
7. To develop approved disaster planning and civil defense procedures for the entire school district — April, 1977
8. To develop an acceptable educational program within the budget constraints for 1977-1978 — May, 1977
9. To insure the development of a written district-wide K-6 curriculum with both grade-by-grade and school-by-school coordination — June, 1977
10. To complete, in compliance with Section 155.1 of the regulations of the commissioner of education, a long-range plan for the district by June, 1977. This six-year long-range plan includes, but is not limited to, a statement of the district's goals and philosophy, an analysis of enrollment, a description of the administrative organizational pattern of the schools, a description of existing educational facilities, and plans for the staffing and financial support of all school programs — June, 1977

11. Insure the development of antivandalism management systems in individual schools — July, 1977

Each school principal by now has developed a distinctive style for presentation of the year's objectives. One junior high school principal, for instance, uses a two-column format:

Albert Leonard Junior High School
July, 1976
Objectives for 1976-77 School Year

What and When	How
Curriculum	
Continue close monitoring of honors program all year long	Meet with parents of incoming honors students during September Schedule meetings with chairpersons and honors teachers in November, March, and June Maintain file of complaints received Meet with other secondary principals in the fall for general discussion
Curriculum and Supervision	
Attend at least one team meeting on each grade level by March 15	Establish schedule of attendance at team meetings
Continue monitoring elementary program for the gifted	Arrange to visit (and have other staff visit) after program is well under way in the fall
Staff Relations	
Improve staff relations by the end of the school year	Schedule regular building committee and general faculty meetings on mutually developed agendas aimed at meeting this objective
Human Relations	
Continue investigating professional human relations programs	Contact director of pupil personnel services, Anti-Defamation

for possible implementation by the end of the school year	League, and State Education Department to arrange for presentation to staff of programs that have proved successful in other districts
Program Development Plan and introduce new program for acting-out students Plan and introduce part-time program for alternative students	Meet with selected teacher in August to plan for these programs Notify parents of program to be offered Meet with parents before September Coordinate with all other staff members for program implementation
Reemphasize good nutrition through new program in science, home arts, health education, etc.	Form committee of students, teachers, parents, administrators, and cafeteria manager early in year
Student Discipline Improve atmosphere for learning, starting in September and continuing throughout the year	Special letter to parents before September Special assemblies for students first week of school and special meeting with faculty Distribution of Code of Behavior and class discussion of it first week of school Longer suspensions for serious infractions Earlier awareness for psychiatric referrals and or superintendent hearings Institution of group guidance program Emphasis on getting students to class on time Change in lunchroom procedures relating to purchase and eating of snacks

Another principal has developed a format that includes a category called *Indicators*. It describes how the principal knew there was a need or a problem in the first place and provides a great deal of information about how this particular principal perceives her school. For instance, the principal lists as an indicator: "Concern over the deleterious effect of colloquial language patterns of children from the South, the West Indies, from foreign countries, and from deprived backgrounds on the development of verbal and writing skills." Obviously, the principal has been listening to the children in her school talk; she has not merely been reading articles in professional journals. Her objectives for her supervisory functions are listed in the three-column format that follows.

Indicators	Objectives	Action Plan
Concern over daily performance of pupils Concern over effectiveness of instructional efforts Concern over time allocation for formal observation Concern over value and objectivity of informal observation	To improve and maintain the quality of instruction during the school year 1976-77 To establish by September 30, 1976, a schedule for formal visits to classrooms of all teachers at least three times a year To follow up these visits with a conference and a written report To continue to make informal observations on an unscheduled basis, to keep records of same, and to have conferences with teachers thus observed To identify and list elements included in the formal and informal observations and use these during conferences with teachers To hold discussions with individual teachers or grade-level teachers concerning the progress of their instruction of the district's basic competencies in the various curriculum areas To include in these discussions: a) problems that prevent this progress; and b) appropriate materials and resources needed to make instruction of these basic competencies effective	Schedule time to make formal and informal observations of tenured teachers, as well as non-tenured teachers and substitutes Continue to hold post-visitation conferences Develop with teachers list of elements to be observed during formal and informal observations Develop procedure for recording evidence of teacher performance noted during formal and informal observations Provide instructional materials as needed Give guidance in appropriate use of the material for effective instruction and learning

Learning by Doing

A productive part of the MBO process has been the discussion between principals and central office staff about the reasons for failure to meet some of the objectives and goals. Sometimes there has been a districtwide reason for falling short of stated goals, as was the case when teacher contract negotiations dragged on all year and teachers retaliated by engaging in a slowdown and performing only direct classroom duties. Difficulties peculiar to particular situations have surfaced as when the high school principal reported that

> A problem with setting annual objectives for a program as complicated as the high school's has become apparent: Much of the final or evaluation-phase activity in each objective area that occurs during the summer (analysis of student performance, tabulation of college acceptance data, and other tabulations) can be accomplished only after the school year has ended. Therefore, in assembling documentary evidence of the accomplishment of objectives it is necessary—and appropriate—to accept at this time interim as well as terminal proof of accomplishment. Complete summative evaluation data will be submitted as developed.

There are occasions when the annual review becomes merely another skirmish in a long battle, as when the music department at the high school reported its reason for failing to achieve a stated objective. The objective was: "Expand the music staff so that the quality program may be expanded to more students." The reason: "Central administration has denied the request."

The size of an institution affects the style of management. The shrinking numbers of students and staff in some of our elementary schools is preventing innovative deployment of personnel. MBO, however, is opening avenues for more variety of and individuality in programming and more opportunities for each principal to effect changes in his particular school.

New Rochelle High School remains large enough (3,000 students) to have a complex management system. The principal has had to revise his own training methods to introduce MBO to his staff. For him, the ability to develop in others a sense of being part of a management system has been crucial to success.

Layers of people—house principals, department chairpersons, teachers, guidance counselors, custodians, hall monitors, secretaries—exist between the principal and the students. These people are largely responsible for the effective enforcement of administrative rules and regulations. Because of this, the principal must be able to motivate other people in order for any of his decisions to be effective.

Good teachers at the high school level tend to be consumed with a passion for their own subject specialty and are jealous of time that a student spends in other pursuits, academic or otherwise. For MBO to work, each department must first define its own objectives and then fit those objectives into a workable system that includes the objectives of other school departments. The guide that the New Rochelle High School principal prepared for his staff to help them write objectives listed seven basic ingredients to the MBO concept: objectives, roles and missions, key areas, indicators, action plans, total management, and individual motivation.

The gradual involvement of the total staff in the development of their own objectives laid bare one of the peculiarities of the way in which teachers are traditionally trained and certified. At the secondary level they are all subject specialists. They teach algebra or astronomy or cosmetology. They are "classroom teachers." No one is certified as a hallway disciplinarian or an expert in bathroom behavior. "Management" is something that central administration or principals are supposed to do, leaving teachers free to pursue their sacred task of imparting knowledge.

As teachers and department heads met to discuss their objectives, the steps by which they might achieve them and the obstacles, interest in the management of the school increased. Discussion among the various department heads increased their awareness of their role as managers and their need for appropriate skills.

In his MBO guide, the high school principal included a list of "Key Areas for the New Rochelle High School Staff." It was impressive in its indication of the complexity of staff responsibilities. The 20 items included such things as staff development; legal compliance; selection, development, and motivation of key staff; public responsibility; safety and housekeeping; and equipment maintenance.

Any effective reorganization of a management system includes a clear definition of roles and lines of authority. High school administrators were given a list of 23 possible areas of responsibility, such as staff development and budget preparation, and were asked to indicate for each area their own degree of authority, ranging from "full authority for action without consultation or reporting to supervisor" to "no authority."

The success of MBO has led to the utilization of other management techniques. When, for instance, there were violent incidents on one of the junior high school buses, we looked to the method of "matrix management" for assistance. We called together all the people who had an interest in the problem: students, parents, bus drivers, representatives of the bus companies and of community groups, school administrators, the school district ombudsman, and the police. Together they were able to air their grievances and work out solutions to their problems.

The school system includes not only the individual schools but also the central administration offices. Objectives of the director of pupil personnel services must correlate with those of the individual schools and with other central office departments. One recent objective read: "To develop, in conjunction with the Office of Instruction, career guidance programs at the secondary schools." December of that school year was given as the date for the completion of that plan.

The activities of the administrator of state and federal projects are coordinated with the overall aims of the schools in the same way. At a

time when services for handicapped students are the subject of so much state and federal legislation, the director of pupil personnel services is assessing present offerings to the handicapped in all our schools, and the Office of State and Federal Projects is looking for funds to pay for additional programs.

Benefits of MBO

In New Rochelle, the use of the MBO system has helped to coordinate activities districtwide. A great range of programs and curricula has flowered, all within the overall objectives set by the school board. Clarity has also been achieved, both in thinking through the objectives of the schools and in expressing those objectives. This in itself has meant more public accountability. Anyone in town can read our list of objectives and find out if they have been accomplished.

Many more people are now a part of management. Teachers, counselors, parents, and department heads have all been involved, and they feel a sense of responsibility for all aspects of school life. Principals feel that their schools are much more their own creations. There is much less tendency at all levels to blame central administration for whatever goes wrong.

Insistence upon the measurability of objectives has had some interesting effects. For many years society has been expecting the schools to deal with more and more aspects of child rearing. We have been asked not only to teach the young to read and write but also to teach them about sex and drugs and ecology and patriotism and values and safe driving and whatever other subjects a parent or legislator was not prepared to cope with. And we have tried to do it all, especially if we could get state or federal funds for the projects.

Clarification of our objectives has made us do some thinking about our capabilities. The necessity of coming up with ways of measuring our achievements has led to even harder thinking. There are certainly

some things we teach in school that can never be measured. But if we concentrate on the measurable skills—if we teach all students to read and write and spell or to achieve a measurable competence in French or physics or automobile repairing, if we can provide a variety of educational settings for students to learn in their own styles, if we can lower the number of incidents of violence and vandalism, if we can provide an atmosphere in which there are fewer students on drugs and more on scholarships—then perhaps the less measurable characteristics of a caring, nourishing school system will become apparent.

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(Continued from back cover)

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